UNITED STATES DEPARTMENT OF AGRICULTURE

OFFICE OF INSPECTOR GENERAL

Washington, D.C. 20250

March 29, 2019

Ms. Emma Best
MuckRock News
DEPT MR 56696
411A Highland Avenue
Somerville Massachusetts 02144-2516

Subject: Log No. 18-00090

Dear Ms. Best:

This letter responds to your June 25, 2018, Freedom of Information Act (FOIA) request to the Department of Agriculture's (USDA) Office of the Chief Information Officer (OCIO). On August 27, 2018, OCIO referred the request to USDA's Office of Inspector General (OIG). You requested copies of each SF-716 forms that our agency completed and submitted to the National Archives and Records Administration (NARA) from 2001 through 2016.

We are releasing 20 pages of responsive records in full.

You have the right to appeal this response by writing to the Inspector General, U.S. Department of Agriculture, 1400 Independence Avenue SW., Whitten Building, Suite 441-E, Washington, D.C. 20250-2308. Your appeal must be received within 90 days of the date of this letter. The outside of the envelope should be clearly marked "FOIA APPEAL."

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. *See* 5 U.S.C. 552(c) (2006 & Supp. IV 2010). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

You have the right to seek the assistance of the OIG FOIA Public Liaison. You can also seek dispute resolution services from the OIG FOIA Public Liaison or the Office of Government Information Services (OGIS).

As part of the 2007 FOIA amendments, OGIS was created to offer mediation services to resolve disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. Using OGIS' services does not affect your right to pursue litigation. If you are requesting access to your own records (which is considered a Privacy Act request), you should

know that OGIS does not have the authority to handle requests made under the Privacy Act of 1974.
You may contact OGIS in any of the following ways:

Office of Government Information Services
National Archives and Records Administration
{OGIS} 8601 Adelphi Road
College Park, MD 20740-6001
Phone: (202) 741-5770
Fax: (202) 741-5769
Toll-free: 1-877-684-6448
E-mail: ogis@nara.gov
Web: https://ogis.archives.gov

For information about OIG, please refer to our Web site at www.oig.usda.gov. Should you have any questions or need additional information, please feel free to contact our office at (202) 720-5677.

Sincerely,

Alison Decker

Alison Decker
Assistant Counsel

AGENCY SECURITY CLASSIFICATION COSTS ESTIMATES

Department/Agency: US Department of Agriculture	**Fiscal Year:** 2012

Point of Contact:
(Name and phone number) Todd Repass Jr, US Dept of Agriculture (202) 720-2582

Reporting Categories

Please use actual dollar figures.

1. Personnel Security *(include clearance program, initial investigations, national agency checks when used as basis for granting a clearance, adjudication, reinvestigation, polygraph associated with classification-related activities)*	$1,974,801.00
2. Physical Security *(include physical security equipment, protective forces, intrusion detection and assessment, barrier/controls, tamper-safe monitoring, access control/badging, visitor control associated with classification-related activities)*	$9,619,080.00
3. Classification Management *(include resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information)*	$42,512.00
4. Declassification *(include resources used to identify and process information subject to the automatic, systematic, discretionary, or mandatory review programs authorized by Executive Order or Statute)*	$0.00
5. Protection and Maintenance for Classified Information Systems *(include resources used to protect and maintain classified information systems from unauthorized access or modification of information, and against the denial of service to authorized users, including measures necessary to detect, document, and counter such threats)*	$2,186,900.00
6. Operations Security and Technical Surveillance Countermeasures *(include personnel and operating expenses associated with OPSEC and TSCM)*	$10,000.00
7. Professional Education, Training, and Awareness *(include resources used to establish, maintain, direct, support, and assess an information security training and awareness program; certification and approval of the training program; development, management, and maintenance of training records; training of personnel to perform tasks; and qualification and/or certification of personnel associated with classification-related activities)*	$47,572.00
8. Security Management, Oversight, and Planning *(include resources associated with research, test, and evaluation; surveys, reviews, accreditation, and assessments; special access programs; security and investigative matters; industrial security; and foreign ownership, control, or influence (FOCI))*	$67,601.00
9. Unique Items *(include department/agency-specific activities not reported in any of the categories listed above, but are nonetheless significant and need to be included)*	$41,000.00
TOTAL *(sum of items 1-9)*	$13,989,466.00

Narrative: *Provide a brief explanation of any significant difference between last year's and this year's cost estimates. Explain items entered into block 9, Unique Items.*

* USDA saw an increase in Section 5 above due to the installation of Classified IT systems scheduled for installation to support senior level decision makers.

Instructions for Completing Form

I. General: The data reported will be Government cost estimates only. The estimates of resource costs should be reported, in the aggregate, for the following categories: (1) Personnel Security; (2) Physical Security; (3) Classification Management; (4) Declassification; (5) Protection and Maintenance for Classified information Systems; (6) Operations Security and Technical Surveillance Countermeasures; (7) Professional Education, Training, and Awareness; (8) Security Management, Oversight, and Planning; and (9) Unique Items. In reporting cost estimates associated with the security and management of classified information, please exclude all costs related to broad areas of assets protection (i.e., protection of property and personnel not specifically related to classified information). Counterintelligence* resources should also not be included in this data collection. If 51% or more of a resource is devoted to a classification-related activity, it should be included in this estimate. For those resources used for classification-related activities on a part-time basis, the total time devoted to these activities over a year must be at least 51% in order to be included in this estimate. Even though we no longer ask for the number of FTEs, the cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category.

II. Definitions of data to be reported: The primary categories are defined below along with related functional areas to be considered for inclusion. **Report only those cost estimates associated with classification-related activities** (programs that affect the security of classified information).

1. **Personnel Security:** A series of interlocking and mutually supporting program elements that initially establish a Government or contractor employee's eligibility, and ensure suitability for the continued access to classified information.

Clearance Program: Personnel and activities to determine eligibility and suitability for initial or continuing access to classified information or activities.

Initial Investigations: Completing and reviewing Personnel Security Questionnaire, initial screening, filing data in Central Personnel Database, forwarding to appropriate investigative authority, and the investigation itself.

National Agency Check: Include only when used for basis for granting a clearance.

Adjudication: Screening and analysis of personnel security cases for determining eligibility for classified access authorizations and appeals process.

Reinvestigations: Periodic recurring investigations of Government and contractor personnel.

Polygraph: Substantive examinations in security screening process.

2. **Physical Security:** That portion of security concerned with physical measures designed to safeguard and protect classified facilities and information, domestic or foreign.

Physical Security Equipment: Any item, device, or system that is used primarily for the protection of classified information and installations.

Protective Forces: All personnel and operating costs associated with protective forces used to safeguard classified information or installations, to include but not limited to salaries, overtime, benefits, materials and supplies, equipment and facilities, vehicles, aircraft, training, communications equipment, and management.

Intrusion Detection and Assessment: Alarms, sensors, protective lighting, and their control systems; and the assessment of the reliability, accuracy, timeliness, and effectiveness of those systems used to safeguard classified information or installations.

Barrier/Controls: Walls, fences, barricades, or other fabricated or natural impediments to restrict, limit, delay, or deny entry into a classified installation.

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* Counterintelligence means information gathered and activities conducted to protect against espionage, other intelligence activities, sabotage, or assassinations conducted for or on behalf of foreign powers, organizations or persons or international terrorist activities, but not including personnel, physical, document, or communications security programs. (48 CFR 970.0404-1)

Instructions for completing form, continued

Vital Components and Tamper-Safe Monitoring: Personnel and operating activities associated with the monitoring of tamper indicating devices for containers, doors, fences, etc., which reveal violations of containment integrity and posting and monitoring of anti-tamper warnings or signs.

Access Control/Badging: Personnel and hardware such as badging systems, card readers, turnstiles, metal detectors, cipher locks, CCTV, and other access control mechanisms to ensure that only authorized persons are allowed to enter or leave a classified facility.

Visitor Control: Personnel and activities associated with processing visitors for access to facilities holding classified information.

3. **Classification Management:** The system of administrative policies and procedures for identifying, controlling, and protecting from unauthorized disclosure, classified information, the protection of which is authorized by Executive Order or Statute. Classification management encompasses those resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information.

4. **Declassification:** The authorized change in the status of information from classified information to unclassified information. It encompasses those resources used to identify and process information subject to the automatic, systematic, or mandatory review programs authorized by Executive Order or Statute.

5. **Protection and Maintenance for Classified Information Systems:** A classified information system is a set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of classified information. Security of these systems involves the protection of information systems against unauthorized access to or modification of information, whether in storage, processing, or transit, and against the denial of service to authorized users, including those measures necessary to detect, document and counter such threats. This includes **TEMPEST** (short name referring to investigation, study, and control of compromising emanations from information systems equipment) and **Communications Security (COMSEC)** (measures and controls taken to deny unauthorized individuals information derived from telecommunications and to ensure the authenticity of such telecommunications. Communications security includes cryptosecurity, transmission security, emission security, and physical security of COMSEC material).

6. **Operations Security (OPSEC) and Technical Surveillance Countermeasures (TSCM):**

Operations Security (OPSEC): Systematic and proven process by which potential adversaries can be denied information about capabilities and intentions by identifying, controlling, and protecting generally unclassified evidence of the planning and execution of sensitive activities. The process involves five steps: identification of critical information, analysis of threats, analysis of vulnerabilities, assessment of risks, and application of appropriate countermeasures.

Technical Surveillance Countermeasures (TSCM): Personnel and operating expenses associated with the development, training, and application of technical security countermeasures such as non-destructive and destructive searches, electromagnetic energy searches, and telephone system searches.

7. **Professional Education, Training, and Awareness:** The establishment, maintenance, direction, support, and assessment of an information security training and awareness program; the certification and approval of the training program; the development, management, and maintenance of training records; the training of personnel to perform tasks associated with their duties; and qualification and/or certification of personnel before assignment of security responsibilities related to classified information.

8. **Security Management, Oversight, and Planning:** Development and implementation of plans, procedures, and actions to accomplish policy requirements, develop budget and resource requirements, oversee organizational activities, and respond to management requests related to classified information.

Research, Test, and Evaluation: The development, management, and oversight of an acceptance and validation testing and evaluation program, corrective action reports and related documentation that addresses safeguards and security elements. The examination and testing of physical security systems (construction, facilities, and equipment) to ensure their effectiveness and operability and compliance with applicable directives.

Instructions for completing form, continued

Surveys, Reviews, Accreditation, and Assessments: Personnel and activities associated with surveys, reviews, accreditations, and assessments to determine the status of the security program and to evaluate its effectiveness; development and management of a facility survey and approval program; facility pre-survey; and information technology system accreditation.

Special Access Programs (SAP): Programs established for a specific class of classified information that impose safeguarding and access requirements that exceed those normally required for information at the same classification level. Unless specifically authorized by the President, only the Secretaries of State, Defense, Energy, and the Director of National Intelligence may create an SAP. Sensitive Compartmented Information (SCI) programs are not included as SAPs for the purpose of these estimates; rather SCI security costs are integrated and estimated throughout all categories as appropriate. Do not include costs here that have been reported under the other primary categories.

Security and Investigative Matters: The investigation of security incidents, infractions, and violations.

Industrial Security (Non-Contractor Costs): Those measures and resources directly identifiable as Government activities performed for the protection of classified information to which contractors, subcontractors, vendors, or suppliers have access or possession. Examples of such activities are industrial security reviews, surveys, and the granting of facility clearances, and National Industrial Security Program management and administration.

Foreign Ownership, Control, or Influence (FOCI): The development and management of a foreign ownership, control, or influence program; evaluation of FOCI submissions; the administration and monitoring of FOCI information and development of FOCI notifications.

9. **Unique Items:** Those department/agency-specific activities that are not reported in any of the primary categories but are nonetheless significant, and need to be included, should be noted in this category. Any unique item must include a narrative on why it should be included and how the figures were developed.

III. How to complete the security costs estimates form. The form (page 1) should include estimates of resource costs in the aggregate for each of the nine categories. The cost estimates reported should **not** include costs associated with the broader area of assets protection.

1. **Name of Department/Agency:** Self-explanatory.

2. **Reporting Categories:** List cost estimates in dollar amounts. The cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category. If there are no cost estimates to be reported for a particular category, indicate with a "0" in the appropriate block.

3. **Totals:** The totals for blocks 1-9 will automatically be placed in the appropriate block.

4. **Narrative:** In the narrative portion of the form, or in a separate attachment, provide a brief explanation of how cost estimates were determined. If there is a significant difference between the total figures for each fiscal year, explain the differences. Any figure reported within the Unique Items category should be clearly explained in the narrative portion.

AGENCY SECURITY CLASSIFICATION COSTS ESTIMATES

Department/Agency: Department of Agriculture	**Fiscal Year:** 13

Point of Contact:
(Name and phone number) Todd Repass Jr, US Dept of Agriculture (202) 720-2582

Reporting Categories

Please use actual dollar figures.

1. Personnel Security *(include clearance program, initial investigations, national agency checks when used as basis for granting a clearance, adjudication, reinvestigation, polygraph associated with classification-related activities)*	$1,750,500.00
2. Physical Security *(include physical security equipment, protective forces, intrusion detection and assessment, barrier/controls, tamper-safe monitoring, access control/badging, visitor control associated with classification-related activities)*	$50,500.00
3. Classification Management *(include resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information)*	$37,500.00
4. Declassification *(include resources used to identify and process information subject to the automatic, systematic, discretionary, or mandatory review programs authorized by Executive Order or Statute)*	$8,000.00
5. Protection and Maintenance for Classified Information Systems *(include resources used to protect and maintain classified information systems from unauthorized access or modification of information, and against the denial of service to authorized users, including measures necessary to detect, document, and counter such threats)*	$1,986,900.00
6. Operations Security and Technical Surveillance Countermeasures *(include personnel and operating expenses associated with OPSEC and TSCM)*	$5,000.00
7. Professional Education, Training, and Awareness *(include resources used to establish, maintain, direct, support, and assess an information security training and awareness program; certification and approval of the training program; development, management, and maintenance of training records; training of personnel to perform tasks; and qualification and/or certification of personnel associated with classification-related activities)*	$43,500.00
8. Security Management, Oversight, and Planning *(include resources associated with research, test, and evaluation; surveys, reviews, accreditation, and assessments; special access programs; security and investigative matters; industrial security, and foreign ownership, control, or influence (FOCI))*	$61,601.00
9. Unique Items *(include department/agency-specific activities not reported in any of the categories listed above, but are nonetheless significant and need to be included)*	$36,000.00
TOTAL *(sum of items 1-9)*	$3,979,501.00

Narrative: *Provide a brief explanation of any significant difference between last year's and this year's cost estimates. Explain items entered into block 9, Unique Items.*

A review of the physical security estimate revealed that cost not directly related to the CNSI activity were being applied to this estimate(guard force contracts) and cost were applied that were a general facility security cost not related to CNSI. this has been addressed in this report and will be clarified for future reports. the result is a 10,000,000.00 difference.

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Reinvestigations: Periodic recurring investigations of Government and contractor personnel.

Polygraph: Substantive examinations in security screening process.

2. **Physical Security:** That portion of security concerned with physical measures designed to safeguard and protect classified facilities and information, domestic or foreign.

Physical Security Equipment: Any item, device, or system that is used primarily for the protection of classified information and installations.

Protective Forces: All personnel and operating costs associated with protective forces used to safeguard classified information or installations, to include but not limited to salaries, overtime, benefits, materials and supplies, equipment and facilities, vehicles, aircraft, training, communications equipment, and management.

Intrusion Detection and Assessment: Alarms, sensors, protective lighting, and their control systems; and the assessment of the reliability, accuracy, timeliness, and effectiveness of those systems used to safeguard classified information or installations.

Barrier/Controls: Walls, fences, barricades, or other fabricated or natural impediments to restrict, limit, delay, or deny entry into a classified installation.

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Instructions for completing form, continued

Vital Components and Tamper-Safe Monitoring: Personnel and operating activities associated with the monitoring of tamper indicating devices for containers, doors, fences, etc., which reveal violations of containment integrity and posting and monitoring of anti-tamper warnings or signs.

Access Control/Badging: Personnel and hardware such as badging systems, card readers, turnstiles, metal detectors, cipher locks, CCTV, and other access control mechanisms to ensure that only authorized persons are allowed to enter or leave a classified facility.

Visitor Control: Personnel and activities associated with processing visitors for access to facilities holding classified information.

3. **Classification Management:** The system of administrative policies and procedures for identifying, controlling, and protecting from unauthorized disclosure, classified information, the protection of which is authorized by Executive Order or Statute. Classification management encompasses those resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information.

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Research, Test, and Evaluation: The development, management, and oversight of an acceptance and validation testing and evaluation program, corrective action reports and related documentation that addresses safeguards and security elements. The examination and testing of physical security systems (construction, facilities, and equipment) to ensure their effectiveness and operability and compliance with applicable directives.

Instructions for completing form, continued

Surveys, Reviews, Accreditation, and Assessments: Personnel and activities associated with surveys, reviews, accreditations, and assessments to determine the status of the security program and to evaluate its effectiveness; development and management of a facility survey and approval program; facility pre-survey; and information technology system accreditation.

Special Access Programs (SAP): Programs established for a specific class of classified information that impose safeguarding and access requirements that exceed those normally required for information at the same classification level. Unless specifically authorized by the President, only the Secretaries of State, Defense, Energy, and the Director of National Intelligence may create an SAP. Sensitive Compartmented Information (SCI) programs are not included as SAPs for the purpose of these estimates; rather SCI security costs are integrated and estimated throughout all categories as appropriate. Do not include costs here that have been reported under the other primary categories.

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Foreign Ownership, Control, or Influence (FOCI): The development and management of a foreign ownership, control, or influence program; evaluation of FOCI submissions; the administration and monitoring of FOCI information and development of FOCI notifications.

9. **Unique Items:** Those department/agency-specific activities that are not reported in any of the primary categories but are nonetheless significant, and need to be included, should be noted in this category. Any unique item must include a narrative on why it should be included and how the figures were developed.

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3. **Totals:** The totals for blocks 1-9 will automatically be placed in the appropriate block.

4. **Narrative:** In the narrative portion of the form, or in a separate attachment, provide a brief explanation of how cost estimates were determined. If there is a significant difference between the total figures for each fiscal year, explain the differences. Any figure reported within the Unique Items category should be clearly explained in the narrative portion.

AGENCY SECURITY CLASSIFICATION COSTS ESTIMATES

Department/Agency: Department of Agriculture (USDA)	**Fiscal Year:** 2015

Point of Contact:
(Name and phone number) Todd Repass Jr, USDA, 202-720-2582

Reporting Categories

Please use actual dollar figures.

1. Personnel Security *(include clearance program, initial investigations, national agency checks when used as basis for granting a clearance, adjudication, reinvestigation, polygraph associated with classification-related activities)*	$1,770,063.00
2. Physical Security *(include physical security equipment, protective forces, intrusion detection and assessment, barrier/controls, tamper-safe monitoring, access control/badging, visitor control associated with classification-related activities)*	$85,697.00
3. Classification Management *(include resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information)*	$87,260.00
4. Declassification *(include resources used to identify and process information subject to the automatic, systematic, discretionary, or mandatory review programs authorized by Executive Order or Statute)*	$14,225.00
5. Protection and Maintenance for Classified Information Systems *(include resources used to protect and maintain classified information systems from unauthorized access or modification of information, and against the denial of service to authorized users, including measures necessary to detect, document, and counter such threats)*	$941,018.00
6. Operations Security and Technical Surveillance Countermeasures *(include personnel and operating expenses associated with OPSEC and TSCM)*	$15,225.00
7. Professional Education, Training, and Awareness *(include resources used to establish, maintain, direct, support, and assess an information security training and awareness program; certification and approval of the training program; development, management, and maintenance of training records; training of personnel to perform tasks; and qualification and/or certification of personnel associated with classification-related activities)*	$141,524.00
8. Security Management, Oversight, and Planning *(include resources associated with research, test, and evaluation; surveys, reviews, accreditation, and assessments; special access programs; security and investigative matters; industrial security; and foreign ownership, control, or influence (FOCI))*	$113,328.00
9. Unique Items *(include department/agency-specific activities not reported in any of the categories listed above, but are nonetheless significant and need to be included)*	$250.00
TOTAL *(sum of items 1-9)*	$3,168,590.00

Narrative: *Provide a brief explanation of any significant difference between last year's and this year's cost estimates. Explain items entered into block 9, Unique Items.*

There is an increase in personnel security cost due to an increase in background investigations in FY15, and personnel cost not previously reported. There is a decrease in physical security cost due to over estimate of cost. There is a significant increase in category #5 due to some CIS cost not reported.

Instructions for Completing Form

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Intrusion Detection and Assessment: Alarms, sensors, protective lighting, and their control systems; and the assessment of the reliability, accuracy, timeliness, and effectiveness of those systems used to safeguard classified information or installations.

Barrier/Controls: Walls, fences, barricades, or other fabricated or natural impediments to restrict, limit, delay, or deny entry into a classified installation.

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* Counterintelligence means information gathered and activities conducted to protect against espionage, other intelligence activities, sabotage, or assassinations conducted for or on behalf of foreign powers, organizations or persons or international terrorist activities, but not including personnel, physical, document, or communications security programs. (48 CFR 970.0404-1)

Instructions for completing form, continued

Vital Components and Tamper-Safe Monitoring: Personnel and operating activities associated with the monitoring of tamper indicating devices for containers, doors, fences, etc., which reveal violations of containment integrity and posting and monitoring of anti-tamper warnings or signs.

Access Control/Badging: Personnel and hardware such as badging systems, card readers, turnstiles, metal detectors, cipher locks, CCTV, and other access control mechanisms to ensure that only authorized persons are allowed to enter or leave a classified facility.

Visitor Control: Personnel and activities associated with processing visitors for access to facilities holding classified information.

3. **Classification Management:** The system of administrative policies and procedures for identifying, controlling, and protecting from unauthorized disclosure, classified information, the protection of which is authorized by Executive Order or Statute. Classification management encompasses those resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information.

4. **Declassification:** The authorized change in the status of information from classified information to unclassified information. It encompasses those resources used to identify and process information subject to the automatic, systematic, or mandatory review programs authorized by Executive Order or Statute.

5. **Protection and Maintenance for Classified Information Systems:** A classified information system is a set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of classified information. Security of these systems involves the protection of information systems against unauthorized access to or modification of information, whether in storage, processing, or transit, and against the denial of service to authorized users, including those measures necessary to detect, document and counter such threats. This includes **TEMPEST** (short name referring to investigation, study, and control of compromising emanations from information systems equipment) and **Communications Security (COMSEC)** (measures and controls taken to deny unauthorized individuals information derived from telecommunications and to ensure the authenticity of such telecommunications. Communications security includes cryptosecurity, transmission security, emission security, and physical security of COMSEC material).

6. **Operations Security (OPSEC) and Technical Surveillance Countermeasures (TSCM):**

Operations Security (OPSEC): Systematic and proven process by which potential adversaries can be denied information about capabilities and intentions by identifying, controlling, and protecting generally unclassified evidence of the planning and execution of sensitive activities. The process involves five steps: identification of critical information, analysis of threats, analysis of vulnerabilities, assessment of risks, and application of appropriate countermeasures.

Technical Surveillance Countermeasures (TSCM): Personnel and operating expenses associated with the development, training, and application of technical security countermeasures such as non-destructive and destructive searches, electromagnetic energy searches, and telephone system searches.

7. **Professional Education, Training, and Awareness:** The establishment, maintenance, direction, support, and assessment of an information security training and awareness program; the certification and approval of the training program; the development, management, and maintenance of training records; the training of personnel to perform tasks associated with their duties; and qualification and/or certification of personnel before assignment of security responsibilities related to classified information.

8. **Security Management, Oversight, and Planning:** Development and implementation of plans, procedures, and actions to accomplish policy requirements, develop budget and resource requirements, oversee organizational activities, and respond to management requests related to classified information.

Research, Test, and Evaluation: The development, management, and oversight of an acceptance and validation testing and evaluation program, corrective action reports and related documentation that addresses safeguards and security elements. The examination and testing of physical security systems (construction, facilities, and equipment) to ensure their effectiveness and operability and compliance with applicable directives.

Surveys, Reviews, Accreditation, and Assessments: Personnel and activities associated with surveys, reviews, accreditations, and assessments to determine the status of the security program and to evaluate its effectiveness; development and management of a facility survey and approval program; facility pre-survey; and information technology system accreditation.

Special Access Programs (SAP): Programs established for a specific class of classified information that impose safeguarding and access requirements that exceed those normally required for information at the same classification level. Unless specifically authorized by the President, only the Secretaries of State, Defense, Energy, and the Director of National Intelligence may create an SAP. Sensitive Compartmented Information (SCI) programs are not included as SAPs for the purpose of these estimates; rather SCI security costs are integrated and estimated throughout all categories as appropriate. Do not include costs here that have been reported under the other primary categories.

Security and Investigative Matters: The investigation of security incidents, infractions, and violations.

Industrial Security (Non-Contractor Costs): Those measures and resources directly identifiable as Government activities performed for the protection of classified information to which contractors, subcontractors, vendors, or suppliers have access or possession. Examples of such activities are industrial security reviews, surveys, and the granting of facility clearances, and National Industrial Security Program management and administration.

Foreign Ownership, Control, or Influence (FOCI): The development and management of a foreign ownership, control, or influence program; evaluation of FOCI submissions; the administration and monitoring of FOCI information and development of FOCI notifications.

9. **Unique Items:** Those department/agency-specific activities that are not reported in any of the primary categories but are nonetheless significant, and need to be included, should be noted in this category. Any unique item must include a narrative on why it should be included and how the figures were developed.

III. How to complete the security costs estimates form. The form (page 1) should include estimates of resource costs in the aggregate for each of the nine categories. The cost estimates reported should **not** include costs associated with the broader area of assets protection.

1. **Name of Department/Agency:** Self-explanatory.

2. **Reporting Categories:** List cost estimates in dollar amounts. The cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category. If there are no cost estimates to be reported for a particular category, indicate with a "0" in the appropriate block.

3. **Totals:** The totals for blocks 1-9 will automatically be placed in the appropriate block.

4. **Narrative:** In the narrative portion of the form, or in a separate attachment, provide a brief explanation of how cost estimates were determined. If there is a significant difference between the total figures for each fiscal year, explain the differences. Any figure reported within the Unique Items category should be clearly explained in the narrative portion.

AGENCY SECURITY CLASSIFICATION COSTS ESTIMATES

Department/Agency:	**Fiscal Year:** 16

Point of Contact:
(Name and phone number) Brodrick C. Wilcox, Chief, PDSD, 202 720-9732

Reporting Categories

Please use actual dollar figures.

1. Personnel Security *(include clearance program, initial investigations, national agency checks when used as basis for granting a clearance, adjudication, reinvestigation, polygraph associated with classification-related activities)*	$1,888,306.00
2. Physical Security *(include physical security equipment, protective forces, intrusion detection and assessment, barrier/controls, tamper-safe monitoring, access control/badging, visitor control associated with classification-related activities)*	$342,998.00
3. Classification Management *(include resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information)*	$1,073,946.00
4. Declassification *(include resources used to identify and process information subject to the automatic, systematic, discretionary, or mandatory review programs authorized by Executive Order or Statute)*	$14,225.00
5. Protection and Maintenance for Classified Information Systems *(include resources used to protect and maintain classified information systems from unauthorized access or modification of information, and against the denial of service to authorized users, including measures necessary to detect, document, and counter such threats)*	$90,446.00
6. Operations Security and Technical Surveillance Countermeasures *(include personnel and operating expenses associated with OPSEC and TSCM)*	$28,394.00
7. Professional Education, Training, and Awareness *(include resources used to establish, maintain, direct, support, and assess an information security training and awareness program; certification and approval of the training program; development, management, and maintenance of training records; training of personnel to perform tasks; and qualification and/or certification of personnel associated with classification-related activities)*	$269,757.00
8. Security Management, Oversight, and Planning *(include resources associated with research, test, and evaluation; surveys, reviews, accreditation, and assessments; special access programs; security and investigative matters; industrial security; and foreign ownership, control, or influence (FOCI))*	$190,730.00
9. Unique Items *(include department/agency-specific activities not reported in any of the categories listed above, but are nonetheless significant and need to be included)*	$0.00
TOTAL *(sum of items 1-9)*	$3,898,802.00

Narrative: *Provide a brief explanation of any significant difference between last year's and this year's cost estimates. Explain items entered into block 9, Unique Items.*

USDA has a significant increase in the following categories: Physical Security due to the purchase of a Re-deployable Secure Operations Center in FY 16, Cost from Protection and Maintenance was moved to Classification Management in; Professional Eduction and Security Management increased due to a greater understanding of the cost associated with those categories.

Instructions for Completing Form

I. General: The data reported will be Government cost estimates only. The estimates of resource costs should be reported, in the aggregate, for the following categories: (1) Personnel Security; (2) Physical Security; (3) Classification Management; (4) Declassification; (5) Protection and Maintenance for Classified information Systems; (6) Operations Security and Technical Surveillance Countermeasures; (7) Professional Education, Training, and Awareness; (8) Security Management, Oversight, and Planning; and (9) Unique Items. In reporting cost estimates associated with the security and management of classified information, please exclude all costs related to broad areas of assets protection (i.e., protection of property and personnel not specifically related to classified information). Counterintelligence* resources should also not be included in this data collection. If 51% or more of a resource is devoted to a classification-related activity, it should be included in this estimate. For those resources used for classification-related activities on a part-time basis, the total time devoted to these activities over a year must be at least 51% in order to be included in this estimate. Even though we no longer ask for the number of FTEs, the cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category.

II. Definitions of data to be reported: The primary categories are defined below along with related functional areas to be considered for inclusion. **Report only those cost estimates associated with classification-related activities** (programs that affect the security of classified information).

1. **Personnel Security:** A series of interlocking and mutually supporting program elements that initially establish a Government or contractor employee's eligibility, and ensure suitability for the continued access to classified information.

Clearance Program: Personnel and activities to determine eligibility and suitability for initial or continuing access to classified information or activities.

Initial Investigations: Completing and reviewing Personnel Security Questionnaire, initial screening, filing data in Central Personnel Database, forwarding to appropriate investigative authority, and the investigation itself.

National Agency Check: Include only when used for basis for granting a clearance.

Adjudication: Screening and analysis of personnel security cases for determining eligibility for classified access authorizations and appeals process.

Reinvestigations: Periodic recurring investigations of Government and contractor personnel.

Polygraph: Substantive examinations in security screening process.

2. **Physical Security:** That portion of security concerned with physical measures designed to safeguard and protect classified facilities and information, domestic or foreign.

Physical Security Equipment: Any item, device, or system that is used primarily for the protection of classified information and installations.

Protective Forces: All personnel and operating costs associated with protective forces used to safeguard classified information or installations, to include but not limited to salaries, overtime, benefits, materials and supplies, equipment and facilities, vehicles, aircraft, training, communications equipment, and management.

Intrusion Detection and Assessment: Alarms, sensors, protective lighting, and their control systems; and the assessment of the reliability, accuracy, timeliness, and effectiveness of those systems used to safeguard classified information or installations.

Barrier/Controls: Walls, fences, barricades, or other fabricated or natural impediments to restrict, limit, delay, or deny entry into a classified installation.

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* Counterintelligence means information gathered and activities conducted to protect against espionage, other intelligence activities, sabotage, or assassinations conducted for or on behalf of foreign powers, organizations or persons or international terrorist activities, but not including personnel, physical, document, or communications security programs. (48 CFR 970.0404-1)

Instructions for completing form, continued

Vital Components and Tamper-Safe Monitoring: Personnel and operating activities associated with the monitoring of tamper indicating devices for containers, doors, fences, etc., which reveal violations of containment integrity and posting and monitoring of anti-tamper warnings or signs.

Access Control/Badging: Personnel and hardware such as badging systems, card readers, turnstiles, metal detectors, cipher locks, CCTV, and other access control mechanisms to ensure that only authorized persons are allowed to enter or leave a classified facility.

Visitor Control: Personnel and activities associated with processing visitors for access to facilities holding classified information.

3. **Classification Management:** The system of administrative policies and procedures for identifying, controlling, and protecting from unauthorized disclosure, classified information, the protection of which is authorized by Executive Order or Statute. Classification management encompasses those resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information.

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5. **Protection and Maintenance for Classified Information Systems:** A classified information system is a set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of classified information. Security of these systems involves the protection of information systems against unauthorized access to or modification of information, whether in storage, processing, or transit, and against the denial of service to authorized users, including those measures necessary to detect, document and counter such threats. This includes **TEMPEST** (short name referring to investigation, study, and control of compromising emanations from information systems equipment) and **Communications Security (COMSEC)** (measures and controls taken to deny unauthorized individuals information derived from telecommunications and to ensure the authenticity of such telecommunications. Communications security includes cryptosecurity, transmission security, emission security, and physical security of COMSEC material).

6. **Operations Security (OPSEC) and Technical Surveillance Countermeasures (TSCM):**

Operations Security (OPSEC): Systematic and proven process by which potential adversaries can be denied information about capabilities and intentions by identifying, controlling, and protecting generally unclassified evidence of the planning and execution of sensitive activities. The process involves five steps: identification of critical information, analysis of threats, analysis of vulnerabilities, assessment of risks, and application of appropriate countermeasures.

Technical Surveillance Countermeasures (TSCM): Personnel and operating expenses associated with the development, training, and application of technical security countermeasures such as non-destructive and destructive searches, electromagnetic energy searches, and telephone system searches.

7. **Professional Education, Training, and Awareness:** The establishment, maintenance, direction, support, and assessment of an information security training and awareness program; the certification and approval of the training program; the development, management, and maintenance of training records; the training of personnel to perform tasks associated with their duties; and qualification and/or certification of personnel before assignment of security responsibilities related to classified information.

8. **Security Management, Oversight, and Planning:** Development and implementation of plans, procedures, and actions to accomplish policy requirements, develop budget and resource requirements, oversee organizational activities, and respond to management requests related to classified information.

Research, Test, and Evaluation: The development, management, and oversight of an acceptance and validation testing and evaluation program, corrective action reports and related documentation that addresses safeguards and security elements. The examination and testing of physical security systems (construction, facilities, and equipment) to ensure their effectiveness and operability and compliance with applicable directives.

Instructions for completing form, continued

Surveys, Reviews, Accreditation, and Assessments: Personnel and activities associated with surveys, reviews, accreditations, and assessments to determine the status of the security program and to evaluate its effectiveness; development and management of a facility survey and approval program; facility pre-survey; and information technology system accreditation.

Special Access Programs (SAP): Programs established for a specific class of classified information that impose safeguarding and access requirements that exceed those normally required for information at the same classification level. Unless specifically authorized by the President, only the Secretaries of State, Defense, Energy, and the Director of National Intelligence may create an SAP. Sensitive Compartmented Information (SCI) programs are not included as SAPs for the purpose of these estimates; rather SCI security costs are integrated and estimated throughout all categories as appropriate. Do not include costs here that have been reported under the other primary categories.

Security and Investigative Matters: The investigation of security incidents, infractions, and violations.

Industrial Security (Non-Contractor Costs): Those measures and resources directly identifiable as Government activities performed for the protection of classified information to which contractors, subcontractors, vendors, or suppliers have access or possession. Examples of such activities are industrial security reviews, surveys, and the granting of facility clearances, and National Industrial Security Program management and administration.

Foreign Ownership, Control, or Influence (FOCI): The development and management of a foreign ownership, control, or influence program; evaluation of FOCI submissions; the administration and monitoring of FOCI information and development of FOCI notifications.

9. **Unique Items:** Those department/agency-specific activities that are not reported in any of the primary categories but are nonetheless significant, and need to be included, should be noted in this category. Any unique item must include a narrative on why it should be included and how the figures were developed.

III. How to complete the security costs estimates form. The form (page 1) should include estimates of resource costs in the aggregate for each of the nine categories. The cost estimates reported should **not** include costs associated with the broader area of assets protection.

1. **Name of Department/Agency:** Self-explanatory.

2. **Reporting Categories:** List cost estimates in dollar amounts. The cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category. If there are no cost estimates to be reported for a particular category, indicate with a "0" in the appropriate block.

3. **Totals:** The totals for blocks 1-9 will automatically be placed in the appropriate block.

4. **Narrative:** In the narrative portion of the form, or in a separate attachment, provide a brief explanation of how cost estimates were determined. If there is a significant difference between the total figures for each fiscal year, explain the differences. Any figure reported within the Unique Items category should be clearly explained in the narrative portion.

AGENCY SECURITY CLASSIFICATION COSTS ESTIMATES

Department/Agency: USDA	**Fiscal Year:** 2017

Point of Contact:
(Name and phone number) Brodrick C. Wilcox, Chief, PDSD, 202-720-9732

Reporting Categories

Please use actual dollar figures.

1. Personnel Security *(include clearance program, initial investigations, national agency checks when used as basis for granting a clearance, adjudication, reinvestigation, polygraph associated with classification-related activities)*	$2,077,136.00
2. Physical Security *(include physical security equipment, protective forces, intrusion detection and assessment, barrier/controls, tamper-safe monitoring, access control/badging, visitor control associated with classification-related activities)*	$472,559.00
3. Classification Management *(include resources used to identify, control, transfer, transmit, retrieve, inventory, archive, declassify, or destroy classified information)*	$1,181,340.00
4. Declassification *(include resources used to identify and process information subject to the automatic, systematic, discretionary, or mandatory review programs authorized by Executive Order or Statute)*	$14,509.00
5. Protection and Maintenance for Classified Information Systems *(include resources used to protect and maintain classified information systems from unauthorized access or modification of information, and against the denial of service to authorized users, including measures necessary to detect, document, and counter such threats)*	$92,254.00
6. Operations Security and Technical Surveillance Countermeasures *(include personnel and operating expenses associated with OPSEC and TSCM)*	$28,961.00
7. Professional Education, Training, and Awareness *(include resources used to establish, maintain, direct, support, and assess an information security training and awareness program; certification and approval of the training program; development, management, and maintenance of training records; training of personnel to perform tasks, and qualification and/or certification of personnel associated with classification-related activities)*	$269,767.00
8. Security Management, Oversight, and Planning *(include resources associated with research, test, and evaluation; surveys, reviews, accreditation, and assessments; special access programs; security and investigative matters; industrial security; and foreign ownership, control, or influence (FOCI))*	$209,803.00
9. Unique Items *(include department/agency-specific activities not reported in any of the categories listed above, but are nonetheless significant and need to be included)*	
TOTAL *(sum of items 1-9)*	$4,346,329.00

Narrative: *Provide a brief explanation of any significant difference between last year's and this year's cost estimates. Explain items entered into block 9, Unique Items.*

USDA had increases to the following categories: Personnel Security due to increased number of staff changes during election year and increased investigation costs; Physical Security due to upgrades to secure spaces and replacements of end-of-shelf life equipment; Classification Management, Professional Education, Training and Awareness, and Security Management, Oversight, and Planning due to increased staff.

Instructions for Completing Form

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   Initial Investigations: Completing and reviewing Personnel Security Questionnaire, initial screening, filing data in Central Personnel Database, forwarding to appropriate investigative authority, and the investigation itself.

   National Agency Check: Include only when used for basis for granting a clearance.

   Adjudication: Screening and analysis of personnel security cases for determining eligibility for classified access authorizations and appeals process.

   Reinvestigations: Periodic recurring investigations of Government and contractor personnel.

   Polygraph: Substantive examinations in security screening process.

2. **Physical Security:** That portion of security concerned with physical measures designed to safeguard and protect classified facilities and information, domestic or foreign.

   Physical Security Equipment: Any item, device, or system that is used primarily for the protection of classified information and installations.

   Protective Forces: All personnel and operating costs associated with protective forces used to safeguard classified information or installations, to include but not limited to salaries, overtime, benefits, materials and supplies, equipment and facilities, vehicles, aircraft, training, communications equipment, and management.

   Intrusion Detection and Assessment: Alarms, sensors, protective lighting, and their control systems; and the assessment of the reliability, accuracy, timeliness, and effectiveness of those systems used to safeguard classified information or installations.

   Barrier/Controls: Walls, fences, barricades, or other fabricated or natural impediments to restrict, limit, delay, or deny entry into a classified installation.

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* Counterintelligence means information gathered and activities conducted to protect against espionage, other intelligence activities, sabotage, or assassinations conducted for or on behalf of foreign powers, organizations or persons or international terrorist activities, but not including personnel, physical, document, or communications security programs. (48 CFR 970.0404-1)

Instructions for completing form, continued

Vital Components and Tamper-Safe Monitoring: Personnel and operating activities associated with the monitoring of tamper indicating devices for containers, doors, fences, etc., which reveal violations of containment integrity and posting and monitoring of anti-tamper warnings or signs.

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Instructions for completing form, continued

Surveys, Reviews, Accreditation, and Assessments: Personnel and activities associated with surveys, reviews, accreditations, and assessments to determine the status of the security program and to evaluate its effectiveness; development and management of a facility survey and approval program; facility pre-survey; and information technology system accreditation.

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1. **Name of Department/Agency:** Self-explanatory.

2. **Reporting Categories:** List cost estimates in dollar amounts. The cost of personnel associated with the security of classified information should be included in the overall cost estimate for each category. If there are no cost estimates to be reported for a particular category, indicate with a "0" in the appropriate block.

3. **Totals:** The totals for blocks 1-9 will automatically be placed in the appropriate block.

4. **Narrative:** In the narrative portion of the form, or in a separate attachment, provide a brief explanation of how cost estimates were determined. If there is a significant difference between the total figures for each fiscal year, explain the differences. Any figure reported within the Unique Items category should be clearly explained in the narrative portion.